

| FORM PTO-1449 (Modified) | | | Atty Docket No.: S63.2-6072 | | Serial No. 1087042,162 | | |
|---|----|---|--|--------------------------|------------------------|----------|---|
| INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | | Applicant: Kurt Ballou; George Tom Roberts;; Kristian J. DiMatteo; Adrian C. Ravenscroft | | | | |
| | | | Filing Date: October 1, 1997 | | Group:3309 | | |
| REFERENCE DESIGNATION | | | U.S. PATENT DOCUMENTS | | | | |
| EXAMINER'S INITIALS | | PATENT NUMBER | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | AA | 5,102,417 | 4/7/92 | PalmaZ | 606 | 195 | |
| | AB | 5,104,404 | 4/14/92 | Wolff | 623 | 1 | |
| | AC | 5,135,536 | 8/4/92 | Hillstead | 606 | 195 | |
| | AD | 5,195,984 | 3/23/93 | Schatz | 606 | 195 | |
| | AE | 5,290,304 | 3/1/94 | Inoue | 606 | 191 | |
| | AF | 5,395,390 | 3/7/95 | Simon | 606 | 198 | |
| | AG | 5,421,955 | 6/6/95 | Lau et al | 216 | 48 | |
| FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | |
| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OF PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION |
| | BA | WO 96/33671 | 10/31/96 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BB | WO 96/39102 | 12/12/96 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BC | WO 96/41590 | 12/27/96 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BD | WO 97/33534 | 9/18/97 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BE | WO 97/32543 | 9/12/97 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BF | WO 97/32544 | 9/12/97 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| | BG | WO 97/41803 | 11/13/97 | WO | | | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| | CA | "Experimental Intrahepatic Portacaval Anastomosis: Use of Expandable Gianturco Stents" by Josef Rosch, M. D., in <i>RADIOLOGY</i> , February, 1987, pp. 481 - 485. | | | | | |
| | CB | "Stenosis of the Vena Cava: Preliminary Assessment of Treatment with Expandable Metallic Stents" by Chusilp Charnsangaveg, M.D. et al in <i>RADIOLOGY</i> , Vol. 121, No. 2, February, 1987, pp. 295 - 298. | | | | | |
| | CC | "Expandable Intraluminal Graft: A Preliminary Study" by Julio PalmaZ et al, in <i>RADIOLOGY</i> , July 1985, pp. 73 - 77. | | | | | |
| | CD | "Radiological Follow-Up of Transluminally Inserted Vascular Endoprostheses: An Experimental Study Using Expanding Spirals" by D. Maas et al, <i>RADIOLOGY</i> , September 1984, pp. 559 - 663. | | | | | |
| | CE | "Gianturco Expandable Wire Stents In the Treatment of Superior Vena Cava Syndrome Recurring After Maximum-Tolerance Radiation" by Josef Rosch, M.D., et al, in <i>CANCER</i> , Sept. 15, 1987, Vol. 60, pp. 1239- 1246. | | | | | |
| EXAMINER | | | DATE CONSIDERED | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |

| FORM PTO-1449 (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) | | | ATTY DOCKET NO: S63.2-6072 | | | Serial No. 08/942,162 | | |
|---|-----------------|---|---|---------|----------|-----------------------|----------------------------|--|
| | | | APPLICANT: Kurt Ballou; George Tom Roberts; Kristian J. DiMatteo; Adrian C. Ravenscroft | | | | | |
| | | | FILING DATE: October 1, 1997 | | | Group: 3309 | | |
| REFERENCE DESIGNATION | | | U.S. PATENT DOCUMENTS | | | | | |
| EXAMINER INIT. | PATENT NUMBER | ISSUE DATE | PATENTEE | | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | AA 5,449,373 | 9/12/95 | Pinchasik et al | | 606 | 198 | | |
| | AB 5,466,242 | 11/14/95 | Mori | | 606 | 198 | | |
| | AC 5,514,178 | 5/7/96 | Torchio | | 623 | 12 | | |
| | AD 5,540,712 | 7/30/96 | Kleshinski et al | | 606 | 198 | | |
| | AE 5,545,210 | 8/13/96 | Hess et al | | 623 | 1 | | |
| | AF 5,591,197 | 1/7/97 | Orth et al | | 606 | 198 | | |
| | AG 5,653,727 | 8/5/97 | Wiktor | | 606 | 195 | | |
| | AH 5,702,419 | 12/30/97 | Berry et al | | 606 | 198 | | |
| | AI 5,725,572 | 3/10/98 | Lam et al | | 623 | 1 | | |
| | AJ 5,735,893 | 4/7/98 | Lau et al | | 623 | 1 | | |
| | AK 5,649,952 | 7/22/97 | Lam | | 606 | 198 | | |
| FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | | |
| | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OF PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | | |
| | | | | | | YES | NO | |
| BA | WO 97/41803 | 11/13/97 | WO | | | X | | |
| BB | WO 98/05270 | 1/12/98 | WO | | | X | | |
| BC | | | | | | | | |
| BD | | | | | | | | |
| BE | | | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | | |
| CA | | "Tracheobronchial Tree: Expandable Metallic Stents Used in Experimental and Clinical Applications" by Michael J. Wallace et al, Vol. 158, No. 2, RADIOLOGY, February 1986, pp. 309 - 312. | | | | | | |
| | | | | | | | | |
| CB | | "Flexible Balloon-Expanded Stent For Small Vessels" by Gerard Duprat, Jr., et al, RADIOLOGY, January 1987. | | | | | | |
| | | | | | | | | |
| CC | | "Elastic Characteristics of the Self-Expanding Metallic Stents" by B. G. Fallone, Ph.D., INVESTIGATIVE RADIOLOGY, May 1988, Vol. 23, pp. 370 - 376. | | | | | | |
| | | | | | | | | |
| EXAMINER | | DATE CONSIDERED | | 10/8/97 | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | |

| FORM PTO-1449 (Modified) INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | | Atty Docket No.: S63.2-6072 | | Serial No.: 08/942,162 | | |
|---|-----------------|--|--|-------|------------------------|-------------|----------------------------|
| | | | Applicant: Kurt Ballou; George Tom Roberts;; Kristian J. DiMatteo; Adrian C. Ravenscroft | | | | |
| | | | Filing Date: October 1, 1997 | | Group: 3309 | | |
| REFERENCE DESIGNATION | | | U.S. PATENT DOCUMENTS | | | | |
| EXAM'S INIT. | PATENT NUMBER | ISSUE DATE | PATENTEE | | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| AA | | | | | | | |
| AB | | | | | | | |
| AC | | | | | | | |
| AD | | | | | | | |
| AE | | | | | | | |
| AF | | | | | | | |
| AG | | | | | | | |
| FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | |
| | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OF PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | YES | NO |
| BA | | | | | | | |
| BB | | | | | | | |
| BC | | | | | | | |
| BD | | | | | | | |
| BE | | | | | | | |
| BF | | | | | | | |
| BG | | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| BD | CA | "Percutaneous Endovascular Graft: Experimental Evaluation" by David Lawrence, Jr., M.D., et al, in <i>RADIOLOGY</i> , May 1987, pp. 357 - 360. | | | | | |
| | CB | "Modified Gianturco Expandable Wire Stents In Experimental and Clinical Use" by J. Rosch et al in <i>CIRSE, Porto Cervo, Sardinia</i> , May 25 - 29, 1996. | | | | | |
| | CC | | | | | | |
| | CD | | | | | | |
| | CE | | | | | | |
| | | | | | | | |
| EXAMINER | | DATE CONSIDERED <i>12/18/97</i> | | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |

| FORM PTO-1449 (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) | | | ATTY DOCKET NO: S63.2-6072 | | | Appl. No: S63.2-6072 | |
|---|----|-----------------------|-------------------------------|--------------------------|-------|----------------------|----------------------------------|
| | | | APPLICANT: Kurt Ballou et al. | | | | |
| | | | FILING DATE: October 1, 1997 | | | Group: 3738 | |
| REFERENCE DESIGNATION | | U.S. PATENT DOCUMENTS | | | | | |
| EXAMINER'S INITIALS | | PATENT NUMBER | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | AA | DES. 380,266 | 6/24/97 | Boatman et al. | D24 | 155 | 12/30/94 |
| | AB | 5695516 | 12/9/97 | Fischell et al. | 606 | 194 | 2/21/96 |
| | AC | DES 380,831 | 7/8/97 | Kavteladze et al. | D24 | 155 | 2/2/95 |
| | AD | 5354308 | 10/11/94 | Simon et al. | 606 | 198 | 5/1/92 |
| | AE | 5683411 | 11/4/97 | Kavteladze et al. | 606 | 200 | 4/6/95 |
| | AF | 5643339 | 7/1/97 | Kvataladze et al. | 623 | 1 | 8/6/95 |
| | AG | 5697971 | 12/16/97 | Fischell et al | 623 | 1 | 6/11/96 |
| | AH | 5800519 | 9/1/98 | Sandock | 623 | 1 | 11/4/96 |
| | AI | | | | | | |
| | AK | | | | | | |
| FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | |
| | | DOCUMENT NUMBER | PUBLICAT ION DATE | COUNTRY OF PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION YES NO |
| | BA | 97/09945 | 3/20/97 | WO | | | |
| | BB | 98/18405 | 5/7/98 | WO | | | |
| | BC | 98/07386 | 2/26/98 | WO | | | |
| | BD | 97/14375 | 4/24/97 | WO | | | |
| | BE | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| | CA | | | | | | |
| | CB | | | | | | |
| | CC | | | | | | |
| EXAMINER | | | DATE CONSIDERED | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |

| FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | | ATTY DOCKET NO.: S63.2-6072 | SERIAL NO.: 08/942,162 | | |
|--|---|------------|--|------------------------|-------------|----------------------------|
| | | | APPLICANT: Kurt Ballou; George T. Roberts; Kristian J. DiMatteo; Adrian C. Ravenscroft | | | |
| | | | FILING DATE: October 1, 1997 | | GROUP: 3309 | |
| REFERENCE DESIGNATION | | | U.S. PATENT DOCUMENTS | | | |
| EXAM'S INT'L. | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| AA | | | | | | |
| AB | | | | | | |
| AC | | | | | | |
| AD | | | | | | |
| AE | | | | | | |
| AF | | | | | | |
| AG | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | |
| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
| | BA DE 40 22 956 A1 | 02/06/1992 | Germany | | | YES X |
| | BB WO 9531945 A1 | 11/30/1995 | PCT | | | X |
| | BC 0 335 341 A1 | 10/04/1989 | EPO | | | X |
| | BD 0 421 729 A2 | 04/10/1991 | EPO | | | X |
| | BE 0 606 165 A1 | 07/13/1994 | EPO | | | X |
| | BF 0 688 545 A1 | 12/27/1995 | EPO | | | X |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| CA | <i>Relocatable Gianturco Expandable Metallic Stents</i> , by Toshiyuki Irie, MD. et al., RADIOLOGY, 1991; 178: 575-578. | | | | | |
| CB | PCT Search Report with a date of mailing of January 15, 1999. | | | | | |
| CC | | | | | | |
| EXAMINER | DATE CONSIDERED 12/18/97 | | | | | |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | |

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)

ATTY DOCKET NO.: S63.2-6072

SERIAL NO.: 08/949,162

APPLICANT: Kurt Ballou; George T. Roberts; Kristian J. DiMatteo; Adrian C. Ravenscroft

FILING DATE: October 1, 1997

GROUP: 3309

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

| EXAM'S INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|--------------|----|-----------------|------|------|-------|----------|----------------------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
| | AE | | | | | | |
| | AF | | | | | | |
| | AG | | | | | | |

FOREIGN PATENT DOCUMENTS

| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|----|-----------------|----------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| BB | WO 98/37833 | 9/3/1998 | PCT | | | X | |
| BC | | | | | | | |
| BD | | | | | | | |
| BE | | | | | | | |
| BF | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | | | | | | |
|----|--|--|--|--|--|--|--|
| CA | | | | | | | |
| CB | | | | | | | |
| CC | | | | | | | |

EXAMINER

DATE CONSIDERED

12/8/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

| | | | |
|---|---|--|------------------------------|
| UNPUBLISHED US APPLICATIONS NOT RELATED BY PRIORITY (COPIES ENCLOSED) | ATTY DOCKET NO.: S63.2N-6072-US03 | | APPLICATION NO. Not Assigned |
| | APPLICANT: Kurt Ballou, George T. Roberts, Kristian J. Dimatteo and Adrian C. Ravenscroft | | |
| | FILING DATE: Not Assigned | | GROUP: Not Assigned |

UNPUBLISHED US APPLICATIONS NOT RELATED BY PRIORITY

| EXAM'S INIT. | APPLICATION NO. | FILING DATE | INVENTOR(S) |
|--------------|-----------------|-------------|-------------|
| DA | | | |
| DB | | | |
| DC | | | |
| DD | | | |
| DE | | | |

| | |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

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| | | | |
|---|---|--|----------------------------------|
| US APPLICATIONS RELATED BY PRIORITY (COPIES NOT ENCLOSED) | ATTY DOCKET NO.: S63.2N-6072-US03 | | APPLICATION NO. Not yet assigned |
| | APPLICANT: Kurt Ballou, George T. Roberts, Kristian J. Dimatteo and Adrian C. Ravenscroft | | |
| | FILING DATE: Concurrently herewith | | GROUP: Not yet assigned |

US APPLICATIONS RELATED BY PRIORITY

| EXAM'S INIT. | APPLICATION NO. | FILING DATE | PATENT NO. | INVENTOR(S) | FORM 1449/892 ENC |
|--------------|-----------------|-------------|------------|---------------|-------------------|
| EA | 09/117,932 | 06/06/00 | 6,723,118 | Ballou et al. | X |
| EB | 08/922,162 | 10/01/97 | 6,071,308 | Ballou et al. | X |
| EC | | | | | |
| ED | | | | | |
| EE | | | | | |
| EF | | | | | |

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| EXAMINER | DATE CONSIDERED |
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12/8/02

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| FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | | ATTY DOCKET NO.:S63.2-9025 | Application No. 09/387,542 | | |
|--|-----------------|---------|----------------------------|----------------------------|----------|------------------------------|
| | | | APPLICANT:BALLOU ET AL | | | |
| | | | FILING DATE: 6 JUNE 2000 | GROUP:3738 | | |
| REFERENCE DESIGNATION | | | U.S. PATENT DOCUMENTS | | | |
| EXAMINER'S INITIALS | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE ~ IF APPROPRIATE |
| D | AA 5540712 | 7/30/96 | KLESHINSKI ET AL | 606 | 198 | |
| P | AB 5395390 | 3/7/95 | SIMON ET AL | 606 | 198 | |
| B | AC 5545210 | 8/13/96 | HESS ET AL | 606 | 191 | |
| | AD | | | | | |
| | AE | | | | | |
| | AF | | | | | |
| | AG | | | | | |
| | AH | | | | | |
| | AI | | | | | |
| | AJ | | | | | |
| | AK | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | |
| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
| | BA 98/07386 | 2/26/98 | WO | | | YES NO |
| | BB | | | | | |
| | BC | | | | | |
| | BD | | | | | |
| | BE | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| | CA | | | | | |
| | CB | | | | | |
| | CC | | | | | |
| EXAMINER | | | DATE CONSIDERED | | | |
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